

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Vinayek K. SINGH et al.

Appl. No: NOT YET ASSIGNED

Confirmation No: NOT YET ASSIGNED

Filed: October 6, 2003

For: MATCH-AND-SWAP
MARKETPLACE

Art Unit: NOT YET ASSIGNED

Examiner: NOT YET ASSIGNED

Atty. Docket No: 32894-188142

Customer No:

26694

PATENT TRADEMARK OFFICE

Information Disclosure Statement

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This is an Information Disclosure Statement submitted under 37 C.F.R. § 1.97 within the time specified under 37 C.F.R. § 1.97(b).

To comply with the duty of disclosure under 37 C.F.R. § 1.56, the U.S. Patent and Trademark Office is notified of the documents which are listed on the attached Form PTO-SB/08A and which the Examiner may deem relevant to patentability of the claims of the above-identified application. One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, and therefore no Statement Under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

In view of the above, no further translation or statement of relevance is required, and as all requirements of 37 C.F.R. § 1.97 and all official guidelines pertaining to Information Disclosure Statements have been complied with, and it is therefore respectfully requested that the Examiner consider the documents and make them of record.

Please charge any necessary fee or credit any overpayment in connection with this Information Disclosure Statement to Deposit Account No. 22-0261.

Respectfully submitted,

Date: October 6, 2003 —



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PTO/SB/08A (08-00)

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Substitute for form 1449A/PTO				Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number		NOT YET ASSIGNED
				Filing Date		October 6, 2003
				First Named Inventor		Vinayek K.SINGH et al.
				Group Art Unit		NOT YET ASSIGNED
				Examiner Name		NOT YET ASSIGNED
Sheet	1	of	2	Attorney Docket Number		32894-188142

U.S. PATENT DOCUMENTS						
Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	US2002/0038278	A1	Himmelstein	03/20/2002	
	A2	US2003/0093362	A1	Tupper et al.	05/15/2003	
	A3	US2002/0116314	A1	Spencer et al.	08/22/2002	
	A4	US2002/0038276	A1	Buhannic et al.	03/28/2002	
	A5	6,418,419	B1	Nieboer et al.	07/09/2002	
	A6	6,236,972	B1	Shkedy	05/22/2001	
	A7	6,233,566	B1	Levine et al.	05/15/2001	
	A8	6,134,536		Shepherd	10/17/2000	
	A9	6,131,087		Luke et al.	10/10/2000	
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	A11	5,963,923		Garber	10/05/1999	
	A12	5,924,083		Silverman et al.	07/13/1999	
	A13	5,924,082		Silverman et al.	07/13/1999	
	A14	5,873,071		Ferstenberg et al.	02/16/1911	
	A15	5,819,238		Fernholz	10/06/1998	
	A16	5,148,365		Dembo	09/15/1992	
	A17	5,136,501		Silverman et al.	08/04/1992	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ₆
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

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Examiner Name	NOT YET ASSIGNED
Attorney Docket Number	32894-188142

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A18	Alexander Schrijver, "Theory of Linear and Integer Programming," Wiley, 1986, ISBN 0471 98232 6, chapters 19-21.	
	A19	Sayee Srinivasan et al., "Portfolio Trading and Electronic Networks", February 5, 1998; page 1-26.	

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